

OFFICE OF THE STATE CIO IT POLICY LETTER	NUMBER: ITPL 10-XX
SUBJECT: INFORMATION TECHNOLOGY PROJECT OVERSIGHT FRAMEWORK	DATE ISSUED: XX, 2010
	EXPIRES: Until Rescinded
REFERENCES: Government Code Sections 11545 and 19130 State Administrative Manual Sections 4819.2, 4819.30-.39, 4819.42, 4940, 4944 Statewide Information Management Manual Sections 17 and 45 Information Technology Policy Letter 09-01	ISSUING AGENCY: OFFICE OF THE STATE CHIEF INFORMATION OFFICER
DISTRIBUTION	Agency Secretaries Department Directors Agency Chief Information Officers Department Chief Information Officers
PURPOSE	<p>The purpose of this Information Technology Policy Letter (ITPL) is to announce:</p> <ul style="list-style-type: none"> • Changes to the project oversight requirement of high criticality/risk information technology (IT) projects. The changes eliminate the requirement to use contractors for project oversight. Rather, IT project oversight will now be assessed on a project-by-project basis by the Office of the State Chief Information Officer (OCIO), Program Management Office (PMO) to determine oversight resources required for each IT project. • A new requirement to include the California Project Management Methodology (CA-PMM) Complexity Assessment¹ when submitting Feasibility Study Reports (FSR), Special Project Reports (SPR), or equivalent documents to the OCIO PMO for review. • The addition of new definitions to Section 4819.2 of the State Administrative Manual (SAM) for Project Oversight, Verification, and Validation. • Modifications to the Information Technology Project Oversight Framework (Oversight Framework) included as Section 45 of the Statewide Information Management Manual (SIMM) as described in Attachment A.

¹ The CA-PMM Complexity Assessment is included in Section 17 of the Statewide Information Management Manual (SIMM).

BACKGROUND

Within the authority of Government Code Section 11545, the OCIO has responsibility and authority for the establishment and enforcement of state information technology in California State Government. This includes establishing and enforcing state IT policies regarding the approval and oversight of IT projects.

In February 2003, the OCIO's predecessor organization within the Department of Finance released the Oversight Framework, which included requirements for IT project management. Subsequently, the OCIO established the CA-PMM as the State's standard for IT project management in April 2009 pursuant to ITPL 09-01.

POLICY

The OCIO establishes the following policy changes for IT Project Oversight:

1. State agencies² that have assessed IT projects as high criticality/risk are required to consult with the OCIO PMO to determine the appropriate state employee or consultant resources required for project oversight responsibilities. Use of consultants is not required for oversight of every such project.

Note: The OCIO PMO will make the final determination as to how project oversight and resources will be applied to individual IT projects and may revise the criticality/risk level upon review of any project documents.

2. State agencies shall include a completed CA-PMM Complexity Assessment when submitting FSRs, SPRs, or equivalent documents to the OCIO PMO.
3. State agencies will apply the definitions for Verification and Validation used by the Institute of Electrical and Electronics Engineers (IEEE) in accordance with IEEE Standard 610³.

Note: The OCIO recommends that V&V responsibilities and activities be consistent with IEEE Standard 1012⁴. However, it should be noted that IEEE Standard 1012 may be more rigorous than is needed on most State IT projects. Therefore, the OCIO recommends that V&V scope and complexity be scaled as appropriate to the size and complexity of individual IT projects.

**SAM and SIMM
CHANGES****SAM Changes:**

SAM Section 4819.2, Definitions, will be amended to include the definitions of Project Oversight, Verification, and Validation, as follows:

² When capitalized, the term "Agency" refers to one of the state's super Agencies such as the State and Consumer Services Agency or the Health and Human Services Agency. When used in lower case, the term "agency" refers to any office, department, board, bureau, commission or other organizational entity within state government. Within this ITPL, "agency" and "department" are used interchangeably.

³ IEEE Standard 610 is the Computer Dictionary - Compilation of IEEE Standard Computer Glossaries.

⁴ IEEE Standard 1012 is the standard for Software Verification and Validation

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- **Project Oversight** – An *independent* review and analysis to determine if the project is on track to be completed within the estimated schedule and cost, and will provide the functionality required by the sponsoring business entity. Project oversight identifies and quantifies any issues and risks affecting these project components.
 - **Verification** – The process of evaluating software to determine whether the products of a given development phase satisfy the conditions imposed at the start of that phase. [IEEE-STD-610].
 - **Validation** – The process of evaluating software during or at the end of the development process to determine whether it satisfies specified requirements. [IEEE-STD-610]

SIMM Changes:

SIMM Section 45 – Information Technology Project Oversight

Framework: The Oversight Framework changes include:

- Alignment with the CA-PMM.
- Criticality/Risk Assessment
- Revision to oversight resource requirements.
- Addition of definition and recommended standards for V&V.
- Global change to replace relevant references to the Department of Finance with the OCIO.

Please see Attachment A, Summary of Changes to the SIMM, for additional details. The changes have been incorporated into Section 45 of the SIMM located at

http://www.cio.ca.gov/Government/IT_Policy/SIMM.html.

As previously discussed, the Complexity Assessment must be submitted with the FSR, SPR, or equivalent document. In addition, the OCIO PMO may revise the criticality/risk level determined by the agency upon review of any project documents. These and additional changes to SIMM Sections 20 and 30 (FSR and SPR Preparation Instructions) will be addressed in a separate ITPL.

APPLICABILITY

The Oversight Framework applies to all reportable IT projects as defined in the SAM Section 4800.

CONTACT

Questions regarding this policy should be directed to your OCIO PMO representative. A listing of PMO Managers and Principals, their departmental assignments, and department delegated cost thresholds can be found at the OCIO Web site located at:

http://www.cio.ca.gov/Contact_Us/staff_assignments.html

SIGNATURE

Teri Takai,
Chief Information Officer

**Summary of Changes to the Statewide Information Management Manual (SIMM)
Xxxxx, 2010**

SIMM Section	Action Type	Changes
SIMM Section 45, IT Project Oversight Framework	Change	<p>Globally replaced references to the Department of Finance with OCIO, where appropriate.</p> <p>Section 1: Introduction and Overview</p> <ul style="list-style-type: none"> Deleted obsolete introductory language and added current GC 11545 OCIO authority. Added recommendation for use of IEEE Standard 1012 for Independent Verification and Validation practices. Added definitions for Verification and Validation from IEEE Standard 610. Replaced Forms and Template references to the CA-PMM, SIMM Section 17, where appropriate. <p>Section 2: Project Classification for Oversight</p> <ul style="list-style-type: none"> Replaced in its entirety with a requirement to use the CA-PMM Complexity Assessment, SIMM Section 17A. <p>Section 3: Department Project Management Requirements</p> <ul style="list-style-type: none"> Replaced in its entirety with the CA-PMM, SIMM Section 17. <p>Section 4: Project Management Practices Assessment.</p> <ul style="list-style-type: none"> Revised to be used by independent project oversight rather than the Department of Finance or OCIO. Updated to match CA-PMM requirements. <p>Section 5: Risk Management and Escalation Procedures</p> <ul style="list-style-type: none"> Replaced in its entirety with the CA-PMM, SIMM Section 17A, Section 3.1.6 for minimum Risk Management Plan requirements. Retained Oversight Framework Appendices C and E for references and optional tools. <p>Section 6: Independent Oversight Requirements</p> <ul style="list-style-type: none"> Modified the description of Independent Oversight. Changed references to the CA-PMM, where

		<p>appropriate.</p> <p>Appendix A: Required Project Management Practices and Products</p> <ul style="list-style-type: none"> Replaced in its entirety by the CA-PMM, SIMM Section 17. <p>Appendix B: Department Project Management Assessment Form</p> <ul style="list-style-type: none"> Minor language modifications regarding use and references to CA-PMM. <p>Appendix C: Categories and Examples of Risk</p> <ul style="list-style-type: none"> No change. <p>Appendix D: Project Risk List</p> <ul style="list-style-type: none"> Replaced in its entirety by the CA-PMM. <p>Appendix E: Risk Management Form</p> <ul style="list-style-type: none"> Retained as an optional tool for documenting risk analysis. <p>Appendix F: Project Oversight Review Checklist</p> <ul style="list-style-type: none"> Minor changes for OCIO and CA-PMM references. <p>Appendix G: Independent Project Oversight Report</p> <ul style="list-style-type: none"> Minor changes for OCIO references only. <p>Appendix G: Independent Project Oversight Report – Instructions</p> <ul style="list-style-type: none"> Minor changes for OCIO references and contact information. <p>Appendix H: Definition of Terms</p> <ul style="list-style-type: none"> Added CA-PMM.
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